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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Amanat, O. et al.

Serial No.: 09/643,227

Filing Date: August 21, 2000

Title: APPARATUS AND METHOD FOR
ADDING LIQUIDITY TO AN ECN
AND IMPROVING EXECUTIONS
OF ORDERS FOR SECURITIES

Group Art Unit: Unassigned

Examiner: Unassigned

Docket No.: T30364US

Box DD
Assistant Commissioner for Patents
Washington, D.C. 20231

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Box DD, Assistant Commissioner for Patents, Washington, D.C. 20231, on the date of signature below.

Signature

Date

9/28/00

TRANSMITTAL LETTER

Enclosed for filing in the above-identified case are the following documents:

- Information Disclosure Statement;
- Form PTO-1449 with cited references; and
- Return-receipt postcard

The Commissioner is hereby authorized to charge or credit Deposit Account No. 01-2511 for any additional filing fees required or overpaid. A duplicate copy of this transmittal is enclosed for this purpose.

Respectfully submitted,

Date: 9/28/2000

By:

John Biggers

Reg. No.: 44,537

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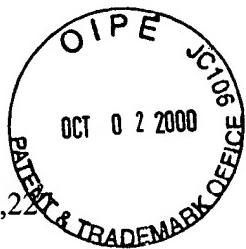
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ATTORNEY FOR APPLICANT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Amanat, O. et al.



Serial No.: 09/643,221

Filing Date: August 21, 2000

Title: APPARATUS AND METHOD FOR
ADDING LIQUIDITY TO AN ECN
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OF ORDERS FOR SECURITIES

Group Art Unit: Unassigned

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Signature

Date

9-08-00

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Submitted herewith are patents, publications or other information of which the undersigned is aware.

The submission of these documents is in no way intended to constitute an admission that these documents are "material" under 37 CFR 1.56. Furthermore, this submission is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

This Information Disclosure Statement is filed within the time period specified in 37 CFR 1.97(b)(1). The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file.

Date:

9/28/2000

By:

Respectfully submitted,



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